Esthetician – All Trades
Business Management Part - 1
Client Information

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Special thanks to Melissa Hampson of *Edgewater Spa*, Vanessa Slater of *MC College*, the staff at the *The Lemon Tree Salon & Studio*, and Courtney Harmsworth of *The Makeup Studio.*

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Client Information

Rationale

Why is it important to learn this skill?
The proper gathering, use, retention, distribution, and destruction of client information are legal requirements of every esthetician.

Outcome

When you have completed this module, you will be able to:
Manage the collection and retention of client information.

Objectives

1. Describe obtaining personal and medical information.
2. Demonstrate completing a client consultation form.
3. Describe filing systems.
4. Demonstrate file keeping.
5. Describe ethical behavior.

Introduction

Client information must be gathered for many reasons; for example, it is necessary to know what a client wants to achieve, so an esthetician can help them reach their goals. Each time a client returns, the information must be used to track progress and changes in the client's at home regimen. The proper retention of information makes sure that records are not read by unauthorized people, and, after a time, old records must be destroyed in a way that prevents private information from becoming public knowledge. The gathering, use, retention, distribution, and destruction of client information has serious legal implications for estheticians. Always check with the province's current legislation for the most up to date information. This module is not a legal document, its purpose is to introduce apprentices to the issues that make up client information.

Objective One

When you have completed this objective, you will be able to:
Describe obtaining personal and medical information.

The Client Consultation Form

Most client information is kept on a client consultation form, which is a physical document that is filled out by the esthetician with the client on the first visit. The form is reviewed by the esthetician before each subsequent visit. Each salon has its own form, but the general sections are: *Personal information*, *Medical history*, *Evaluation of area to be serviced*, *Client Release*, and *Treatment record*. Each section is unique and has its own purpose. Some information is necessary for safe and effective treatments, while other information is voluntary and may be used for marketing.

> It is important to note that estheticians neither diagnose nor treat medical ailments. Information is gathered so that services can be performed without causing harm to clients.

Personal Information

The personal information card is as straightforward as it seems. Here, information such as name, address, age, and marital status is gathered. This form can serve several purposes. It can be used to contact the client, and it can be used to target clients for marketing. For instance, a product can be developed for people of a certain age. The personal information cards can be searched for suitable clients. Marketing is a 'fine line' though. People don't like to be bothered, but they do appreciate a deal.

Medical History

The medical history form contains information such as current medications, medical conditions such as diabetes, medical treatments, and allergies. The purpose of this form is safety. An unknowing esthetician may perform a routine service on a client, but the client could be taking medication, and as a result, the client can be harmed. For instance, some prescription skin creams can cause thinning of the skin. If the thinned skin is waxed, the skin can tear. This form should prevent any harmful actions by

identifying contraindications. A *contraindication* is a specific situation in which a drug, procedure, or surgery should not be used because it may be harmful to the person. Estheticians must be careful not to perform services on contraindications.

Evaluation of area to be serviced

Before a client receives a service, the area to be serviced must be evaluated. This is a two-stage process. First, the client provides their perspective on the area. Next, the esthetician evaluates the area while consulting with the client. Each stage of the process has its purpose. A client can provide valuable insight about things like lifestyle (smoking, alcohol consumption), but they can also be wrong due to personal bias. The esthetician can provide an unbiased evaluation, but they may be missing critical information.

Client Release Statement

A client release statement is a form provided to a client. Its purpose is to make the client aware of the risks and legal rights they have. It is not a protection against any liability; rather, it is a disclosure that educates the client by detailing what they are getting into and who their esthetician is. A *liability* is a legally binding obligation that is payable to another person or entity. The client release statement gives the esthetician permission to treat clients based on the information the client has provided. All estheticians should use a client release statement, and in many cases they are required by salon owners.

Treatment Record

A treatment record is a document that outlines the treatments received by a client. It is updated every time a client receives services. The record can include the date of treatments, products used, name of apprentice / journeyperson who performed the services, and progress. The treatment record provides continuity when a client sees different estheticians. It is best to focus on services that have measurable goals. Try to not interpret results, and always keep in mind: the end result should be what the client and the esthetician providing the service set out to accomplish.

After the Forms

After filling out the forms, have a conversation with the client. A client may present crucial information during a conversation that they have forgotten to write on the form.

Systematic Recordkeeping

Each time a client returns for service, ask them the full range of questions required by the salon, no matter how long they have been coming. This may seem redundant, but clients can develop conditions between appointments, or start additional treatments at another salon, or begin taking medications. Before providing services on a client, review their previous records and update them.

Allergic Reactions

In addition to the five major sections of the client consultation form: *Personal information*, *Medical history*, *Evaluation of area to be serviced*, *Client Release*, and *Treatment record*. An esthetician needs to collect information about allergic reactions. An *allergy* is a damaging immune response by the body to a substance to which it has become hypersensitive. These substances are called *allergens*. For instance, under normal circumstances, a body does not react to dust. If a body becomes allergic to dust, it can over react by sneezing and developing a stuffy nose and itching eyes. The body treats the dust as a harmful 'invader' and over reacts to cope with it. An *allergic reaction* is the body's way of responding to an 'invader.'

Allergic reactions can range from hives to fainting to death. It is important to know that allergens are often contained in cosmetic ingredients, hydroxy acids, the environment, and sunscreens.

PIPEDA

For private sector organizations, the collection and distribution of personal information is governed by the *Personal Information Protection and Electronic Documents Act* (PIPEDA). This act sets out rules for how private sector organizations may collect, use, or disclose personal information. In general, PIPEDA applies to organizations'

commercial activities in all provinces. The legislation above must be understood before collecting, storing, using, and distributing client information.

Recording Data on Cards and Computer systems

Client information is usually kept in two formats: the client consultation form (paper), and in a computer (digital). Often, the client consultation form contains the signature of the client and is also the most detailed. It is referred to during every visit. The apprentice / journeyperson can quickly refer to it and determine client preferences or allergies. The computerized system usually contains information regarding billing and appointments. Information needs to be kept in both places for effective, thorough recordkeeping.

Objective One Self-Test

1) On which form is most information kept?

_____

2) For what two purposes can the 'personal information' form be used?

_____

3) What is a 'contraindication'?

_____

4) How many times is the area to be serviced evaluated? Why?

_____

5) True / false. The client release statement provides protection against liability.

6) What is provided by a treatment record to various estheticians?

_____

7) Why is it crucial to have a dialogue with clients while filling out forms?

_____

8) Why is it important to update the client consultation form each time a client visits?

_____

9) Identify three substances that can contain allergens.

_____

10) Which legislation governs the collection and distribution of personal information for private sector organizations?

_____

11) What type of information is kept in a client's electronic file?

_____

Objective One Self-Test Answers

1) The client consultation form.

2) It can be used to contact clients and target clients for marketing products and services.

3) A *contraindication* is a specific situation in which a drug, procedure, or surgery should not be used because it may be harmful to the person.

4) The area to be serviced is evaluated two times. The first time, the client gives their insight, and the second time, the esthetician provides an unbiased evaluation.

5) False.

6) It provides continuity for various estheticians.

7) During a dialogue, a client can provide information that they have forgotten to enter on a form.

8) Clients can develop conditions between appointments, or start additional treatments at another salon, or begin taking medications.

9) Cosmetics, hydroxyl acids, the environment, and sunscreens can all contain allergens.

10) The *Personal Information Protection and Electronic Documents Act* (PIPEDA).

11) An electronic file can contain billing and appointment information.

Objective Two

When you have completed this objective, you will be able to:
Demonstrate completing a client consultation form.

Make-Up Client Profile and History

Contact Information

Name:	Occupation:
Business phone:	Phone(s):
Email address:	Birthday (d/m/y):
Address:	City:
Province:	Postal code:

Skin Care

Skin type: □ Dry □ Oily □ Normal □ Combination
Current skin care: □ Soap □ Cleanser □ Toner □ Exfoliator □ Masque □ AHA □ Vitamin C □ SPF # ( ) □ Moisturizer
Do you ever experience: □ Skin Breakouts □ Flaking □ Tightness □ Redness
Have you ever had reactions to treatments? □ No □ Yes
If yes, explain:
Do you have allergies to the following: □ Cosmetics □ Foods □ Pollen □ Metal
Explain:

Make-Up

Personal style: □ Classic / professional □ Minimal / natural □ Fashion aware / trendsetter
What products do you normally use? □ Concealer □ Foundation □ Powder □ Eye shadow □ Eye liner □ Mascara □ Blush □ Lip liner □ Lip colour
What product is a 'must have'?
What colours are you addicted to?
What colours are you tempted to try?
How much time do you spend putting on make-up every day?
What areas do you feel that you need help with? □ Eyes □ Cheeks □ Lips □ Other
Comments, requests, or special concerns:

Skin Care Client Profile and History

Contact Information

Name:	Occupation:
Business phone:	Home phone:
Email address:	Birthday (d/m/y):
Address:	City:
Province:	Postal code:

Skin Care

Skin type: □ Dry □ Oily □ Normal □ Combination
Current skin care: □ Soap □ Cleanser □ Toner □ Scrub □ Masque □ AHA □ Vitamin C □ SPF # ( ) □ Moisturizer
Do you ever experience: □ Skin Breakouts □ Flaking □ Tightness
Have you ever had reactions to treatments? □ No □ Yes
If yes, explain:
Do you have allergies to the following: □ Cosmetics □ Foods □ Pollen □ Metal
Explain:

Health

Certain medical conditions can influence our choice of treatment. Please indicate whether you suffer from any of the following: □ Diabetes □ Thyroid □ Cancer □ Hormone imbalance □ Lupus □ Rosacea □ Acne □ Sinus problems □ Blushing □ Nail fungus □ Warts □ Other:
Are you pregnant? □ Yes □ No
Do you smoke? □ Yes □ No
Do you have medical implants? □ Yes □ No If yes, where?
How do you rate your pain tolerance? □ Low □ Medium □ High
Pain tolerance may be lower and blemishes may be more of a problem just before menstruation. Is your menstrual period due within a week? □ Yes □ No
Skin is weaker and more sensitive when you are on medication. Are you taking: □ Retin A □ Accutane □ Tetracycline □ Other antibiotics □ Oral contraceptives □ Other:
Have you had surgery within the last year? □ Yes □ No
How many hours a day do you work?
Do you sleep well? □ Yes □ No Approximately _____ hours per night.
Do you exercise regularly? □ Yes □ No Type of exercise:
Daily water consumption: Coffee: Tea: Pop: □ Diet □ Regular

General information only. Not a release or legal document.

Objective Three

When you have completed this objective, you will be able to:
Describe filing systems.

General Considerations

Physical records are kept in a filing system. A business must choose a filing system with the greatest advantages and least disadvantages. The needs of each business are different, and so are the filing systems. Systems can vary from a small, single filing cabinet, to a large elaborate set up. Whatever system is chosen, the user must be able to find information quickly, maintain client privacy, and update client information.

The types of records kept and the method of retrieving them play a role in deciding on a filing system. For example, a numeric system works well for purchase orders that are identified by number, while an alphabetic system works well for files retrieved by name. A small number of records can be easily filed with an alphabetic filing system, but a large volume of files may require a numeric system.

The filing system must be logical so that staff can learn it quickly. Systems that make sense require less memorization. The filing system must perform its function. If it is too simple, it might not work. Conversely, if the system is too complicated it will be difficult to work with. A filing system should be flexible to accommodate change. A business might grow or open a second location. If a business offers new services, the filing system will need to accommodate new classifications.

Filing systems should be standardized. Common terms and conventions should be followed. These terms and conventions have been proven effective over time. There is no sense in 'reinventing the wheel.' New staff may already be familiar with a standard system, making their transition easier. Using different terms to describe the same record or subject will cause confusion. Each filing system should also have a written set of rules and procedures for all staff to follow. This will prevent lost files, misfiles, and unplanned duplications of records and locations.

Direct and Indirect Systems

There are two types of access used in filing systems: direct access and indirect access. *Direct* access allows a person to find a record by going directly to the files and looking under the name of the record. Alphabetic systems are usually direct access systems. *Indirect access* requires the use of an index or authority file to determine the code assigned to a record. Alphanumeric and numeric systems are usually indirect access systems.

Direct Access Systems

- Records can be located quickly.
- The system is easy to learn.
- Filing and retrieving records is fast.
- Is best for small volumes of records.
- Files with similar or identical names may cause confusion.

Indirect Access Systems

- Record security is high, since the coding system must be known to access files.
- Very efficient for large numbers of records.
- Filing and retrieval are generally more accurate than direct access systems.
- Misfiled records may be very difficult to locate.
- Can be difficult to learn.

System Classifications

Filing systems fall into three general categories: subject, numeric, and functional. The subject filing system organizes names or subjects by letters of the alphabet. In subject systems, one file follows another in alphabetical order. Labeled folders are usually placed behind simple alphabetic guides. A subject filing system might have subjects such as *Accounts Payable, Brochures,* and *Grants.* Encyclopedia systems are a type of subject system best suited for large volumes of records. Subjects are grouped under broad categories and the categories are then broken down alphabetically into more precise subjects. Major subject headings appear on dividers and secondary headings appear on individual folders.

Functional systems are based on the organizational structure and functions of the office. The filing system is similar to the encyclopedic model, except that the files are organized around the major functions of an office.

Alphabetical Filing – Colour and Letter

This is the most popular way to file because it uses letter and colour recognition. Recognizing colours and letters is easy to most people. Coloured stickers are placed on files to display the first three letters of a client's name, and colours are used to accentuate letter changes. Consider the picture below.

Cameron, Susan

C
A
M

C
A
N

C
E
N

No colour change, because the letter hasn't changed.

The colour changes each time the letter changes.
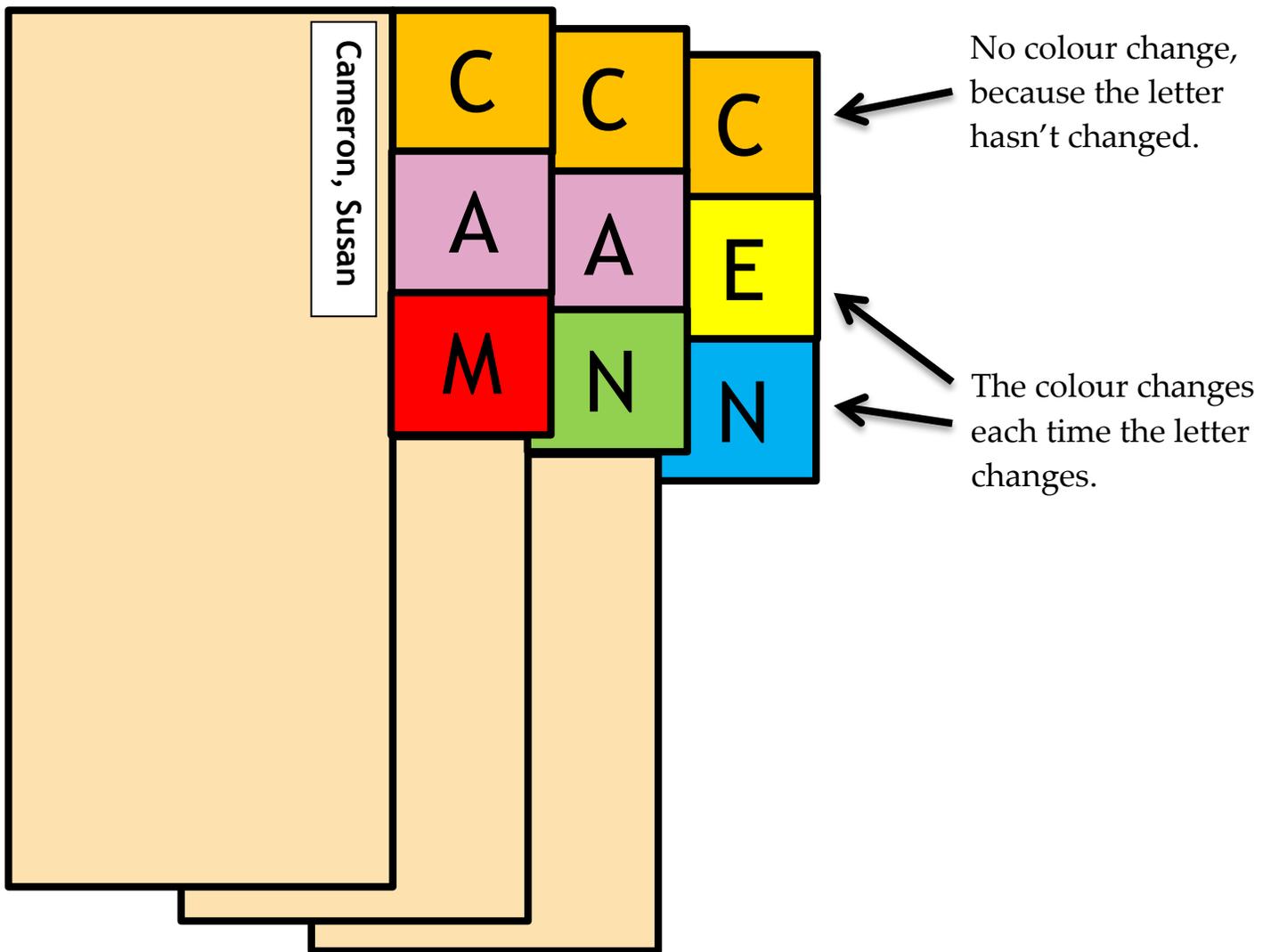
Reviewing and Updating Files

A balance must be maintained with files. One on hand, they must be kept for a reasonable amount of time, even if a client no longer comes to the salon. On the other hand, the 'sleeping' file of a customer who hasn't returned for several years must eventually be destroyed. Generally, a file can be destroyed if a client hasn't been in the salon for five to seven years. It is not wise to throw out files too soon, because the files kept by estheticians are of a medical nature, and the RCMP have requested files from salons to assist in investigations. The safest way to destroy files is to first shred them, and then burn them.

Filing Routinely and Systematically

Return a file to its rightful place immediately after its use. If files are left in piles, they can become lost or information can fall out of them and then be misplaced. Put the file back in its rightful place according to the established system.

Objective Three Self-Test

1) What are the three basic functions of every filing system?

_____

2) Identify two reasons why a filing system should use conventional systems and terms?

_____

3) Which type of filing system uses an index to locate files?

_____

4) Which type of alphabetical system is suitable for large volumes of records?

_____

5) Approximately how long should an inactive or 'sleeping' file be kept before being Destroyed?

_____

Objective Three Self-Test Answers

1) The user must be able to find information quickly, maintain client privacy, and update client information.

2) New staff may already be familiar with a standard system, and uing different terms to describe the same record or subject will cause confusion.

3) An indirect access system.

4) The encyclopedic system.

5) 5 - 7 years.

Objective Four

When you have completed this objective, you will be able to:
Demonstrate file keeping.

Demonstrate File Keeping

Laboratory Exercise

Purpose: Demonstrate file keeping.

Materials:

Various file systems	

Procedure: using the information provided in this module and the instructor's guidance, retrieve and replace files in various systems.

Instructor Verification:

Objective Five

When you have completed this objective, you will be able to:
Describe ethical behavior.

What is a Profession?

The definition of a profession varies across place and time. In general, a **profession** is a group of individuals who adhere to a code of conduct, pay fees to be members, have specialized knowledge and skills, and can be disciplined by their association. In Canada, estheticians can become members of esthetics associations. Membership in an association can provide benefits such as rebates on insurances and access to additional education and skills development. Even if an apprentice / journeyperson is not a member of a professional association, they should strive to increase the reputation of their trade.

Professional Ethics

Ethics are accepted standards of behavior. They are often established by professional organizations to help guide members in performing their jobs according to sound and consistent principles. A profession prescribes standards for its members and is accountable to the public.

A professional has obligations to their employer, clients, colleagues, and society. An individual esthetician has many levels of responsibility. They are responsible for their daily tasks, the outcomes caused by their actions, liabilities arising from actions and / or inactions, and caring about what happens to their self, others, and the trade.

An esthetician can fail to meet their responsibilities. *Negligence* is the failure to meet the appropriate standards of care or quality provided by a competent practitioner of good standing.

Client Confidentiality

Estheticians have ethical and legal responsibilities to maintain the confidentiality and privacy of client information. One way that estheticians build trust and respect is by

protecting clients' confidentiality and privacy. Consistent rules for the management of personal information must be established and followed.

Information privacy is the client's right to control how their personal health information is collected, used, and disclosed. Personal information must be kept confidential and secure. *Security* refers to the processes and tools that ensure confidentiality of information. *Personal information* is any identifying information about clients that is in verbal, written, or electronic form. This includes information-- such as payments--collected by estheticians during the course of relationships. Clients do not have to be named for information to be considered personal information. Information is 'identifying' if a person can be recognized, or when it can be combined with other information to identify a person.

Esthetician Responsibilities

An esthetician is responsible for ensuring that they use client information only for the purpose(s) for which it was collected.   They must ensure that the information is accurate, complete, and up-to-date, and secure.

Collection is the gathering, acquiring, receiving or obtaining of personal information. It is a good practice to only collect as much information as is needed to meet the purpose of the collection.

Client Rights

A client should be made aware of their right to withhold or withdraw consent to the sharing of his/her personal health information with others. Personal information belongs to the client and is only being housed in the salon. Clients have the right to give, refuse, or withdraw their consent to the collection, use, and disclosure of their personal information.

Clients also have the right to correct their personal health information. They can request changes if they believe the record is inaccurate or incomplete. Requests for corrections can be made verbally or in writing. In some cases, client requests to correct personal health information may be refused if the request is frivolous, vexatious or made in bad faith. Requests can also be refused if the esthetician did not create the

record and does not have sufficient knowledge, expertise, or authority to make the correction. Procedures and policies must be in place to process client requests for access and corrections.

Disclosure

Disclosure is making information available or releasing it to another person or organization. Express consent is needed when personal information is disclosed. Some legislation allows disclosure of personal information without the consent of the client. Disclosure without consent could be permitted if
- disclosure is needed to provide health care, and consent cannot be obtained quickly;
- it was needed to contact a relative or friend of an injured, incapacitated or ill client;
- it eliminated or reduced a significant risk of serious bodily harm to another person or the public.

In relation to privacy, professional misconduct is the giving of information about a client to a person other than the client (or their authorized representative) unless required to by law.

Objective Five Self-Test

1) Identify one benefit of belonging to a professional association?

_____

2) In terms of professional obligations, identify three things for which an esthetician is responsible?

_____

3) Connect the term with its definition.

Security   the client's right to control how their personal health
                                       information is collected, used, and disclosed.

Personal   refers to the processes and tools that ensure confidentiality of
Information   information.

Information   any identifying information about clients that is in verbal,
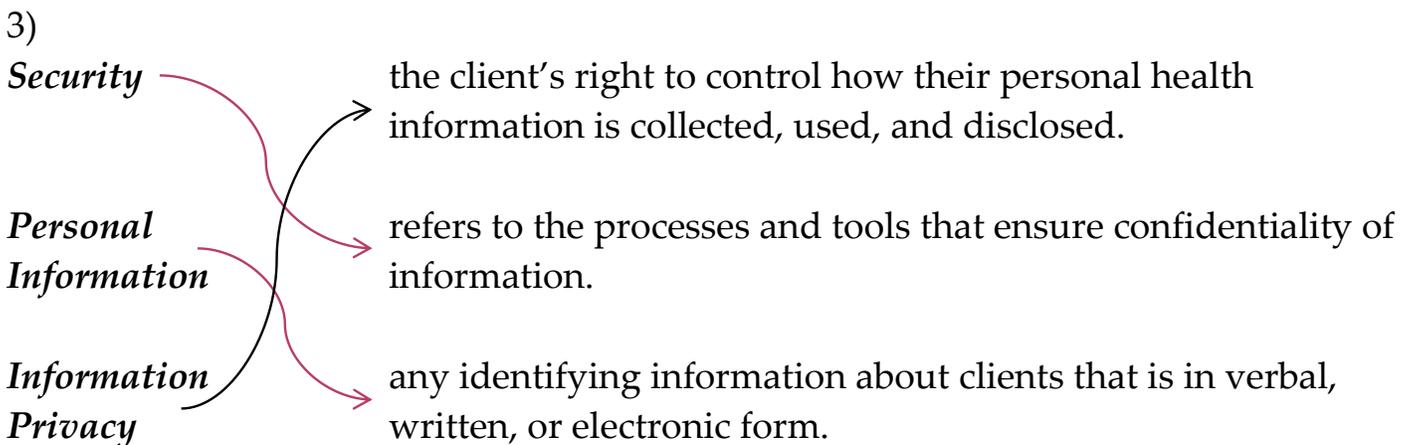*Privacy*   written, or electronic form.

4) True / false. Clients do not have the right to give, refuse, or withdraw their consent to the collection, use, and disclosure of their personal information.

5) True / false. Clients have the right to correct their personal health information.

6) In general, what does an esthetician require before they can disclose personal information?

Objective Five Self-Test Answers

1) Membership in a professional association can provide benefits such as rebates on insurances and access to additional education and skills development.

2) Daily tasks, the outcomes caused by their actions, liabilities arising from actions and / or inactions, and caring about what happens to their self, others, and the trade.

3)

Security　　　　　　　　the client's right to control how their personal health information is collected, used, and disclosed.

Personal Information　　refers to the processes and tools that ensure confidentiality of information.

Information Privacy　　any identifying information about clients that is in verbal, written, or electronic form.

4) False.

5) True.

6) In general, an esthetician requires express consent.

Module Summary Self-Test

1) What is the 'worst case' reaction to an allergy?

_____

2) True or false. Estheticians neither diagnose nor treat medical ailments.

3) In which two formats is personal information kept?

_____

4) Why is it advantageous if a filing system 'makes sense'?

_____

5) Which type of filing 'access system' provides the least security?

_____

6) Considering a 'colour and letter' filing system, when does a sticker change colour?

_____

7) Why should files not be allowed to pile up?

_____

8) How can estheticians build trust with clients?

_____

9) True / false. Clients do not have to be named for information to be considered personal information.

10) Identify one situation when disclosure without consent would be acceptable.

_____

Module Summary Self-Test Answers

1) Death.

2) True.

3) Paper and digital.

4) Things that 'make sense' require less memorization, and are therefore faster to learn.

5) A direct access system.

6) Stickers change colours when the letters on them change.

7) When files pile up, information can fall out of them. Files can become lost and disorganized.

8) Trust is built by protecting the confidentiality and privacy of client information.

9) True.

10) Information could be disclosed without consent if disclosure is needed to provide health care, and consent cannot be obtained quickly; it was needed to contact a relative or friend of an injured, incapacitated or ill client; it eliminated or reduced a significant risk of serious bodily harm to another person or the public.

Errata

Date	Page	Explanation
04 October 2017	3	spelling correction